

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION



☒ New Contract 600-11-001 ☐ Amendment to Existing Contract: - - Amendment Number:

Division	Contract Manager:	MS-	Phone	CM Training Date
600 Fuels and Transportation Division	Michael Poe	44	916-654-4809	2/3/05

Contractor's Legal Name	Federal ID Number
Lamont Financial Services Corporation	22-2857916

Title of Project
Financial Advisor for the Bond Program

Term	Start Date	End Date	Amount
New/Original Contract	08 / 29 / 11	06 / 30 / 14	\$ 110,000

Line up the Amendment information as best as possible in the following boxes

Amendment #	End Date (mm/dd/yy)	Amount

Business Meeting Information			
Proposed Business Meeting Date	8/10/11	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Chris Scott	Time Needed:	5 minutes

Agenda Item Subject and Description
Possible approval of a three year contract with Lamont Financial Services Corporation in the amount of \$110,000 to provide financial advisory services to the Energy Commission.

Business Meeting approval is not required for the following types of contracts: <i>Executive Director's signature is required in all cases.</i>
<input type="checkbox"/> Contracts less than \$10k (<i>Policy Committee's signature is also required</i>)
<input type="checkbox"/> Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
<input type="checkbox"/> Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

Purpose of Contract or Purpose of Amendment, if applicable
The purpose of this contract is to obtain an expert Financial Advisor to provide investment monitoring and programmatic advice, to counsel Energy Commission staff in their administrative interactions with various bond program contractors (audit, rebate, bond counsel, and other outside participants in the revenue bond program (trustee, issuer, investment contracts).

California Environmental Quality Act (CEQA) Compliance
<p>1. Is Contract considered a "Project" under CEQA?</p> <p><input type="checkbox"/> Yes: skip to question 2 <input checked="" type="checkbox"/> No: complete the following (PRC 21065 and 14 CCR 15378):</p> <p>Explain why contract is not considered a "Project":</p> <p>Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because contract involves the preparation of bond reports.</p>
<p>2. If contract is considered a "Project" under CEQA:</p> <p><input type="checkbox"/> a) Contract IS exempt. (Draft NOE required)</p> <p><input type="checkbox"/> Statutory Exemption. List PRC and/or CCR section number: _____</p> <p><input type="checkbox"/> Categorical Exemption. List CCR section number: _____</p> <p><input type="checkbox"/> Common Sense Exemption. 14 CCR 15061 (b) (3)</p> <p>Explain reason why contract is exempt under the above section: _____</p>
<p><input type="checkbox"/> b) Contract IS NOT exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.</p>

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION



Budgets Information							
Contract Amount Funded		Breakdown by FY			Funding Sources		
Funding Source	Amount	FY	Amount	Approved ?	Funding Source	FY	Budget List No.
ARFVTF	\$		\$	No	Funding Source		
ECAA	\$		\$	No	Funding Source		
State- ERPA	\$		\$	No	Funding Source		
Federal	\$		\$	No	Funding Source		
PIER - E	\$		\$	No	Funding Source		
PIER - NG	\$		\$	No	Funding Source		
Reimbursement	\$		\$	No	Funding Source		
RRTF	\$		\$	No	Funding Source		
Other: Bond Adm	\$110,000		\$	No	Other:	11-12	100-100
TOTAL: \$110,000		TOTAL: \$ 0			TOTAL: \$110,000		
Reimbursement					Federal Agreement #:		

Contractor's Administrator/ Officer		Contractor's Project Manager	
Name:	Susan Weil	Name:	Same as Administrator
Address:	308 N. Sycamore Avenue, Suite 304	Address:	
City, State, Zip:	Los Angeles, CA 90036	City, State, Zip:	
Phone/ Fax:	393-938-0022/FAX 323-938-1788	Phone/ Fax:	
E-Mail:	sweil@lamontfin.com	E-Mail:	

Contractor Is
<input checked="" type="checkbox"/> Private Company (including non-profits)
<input type="checkbox"/> CA State Agency (including UC and CSU)
<input type="checkbox"/> Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

Selection Process Used
<input checked="" type="checkbox"/> Solicitation RFP Solicitation #: 600-10-613 # of Bids: 3 Low Bid? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes
<input type="checkbox"/> Non Competitive Bid (Attach CEC 96)
<input type="checkbox"/> Exempt Select Exemption (see instructions)

Civil Service Considerations
<input type="checkbox"/> Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)
<input type="checkbox"/> Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)
<input checked="" type="checkbox"/> The Services Contracted:
<input checked="" type="checkbox"/> are not available within civil service
<input checked="" type="checkbox"/> cannot be performed satisfactorily by civil service employees
<input checked="" type="checkbox"/> are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system.
<input type="checkbox"/> The Services are of such an:
<input type="checkbox"/> urgent
<input type="checkbox"/> temporary, or
<input type="checkbox"/> occasional nature
that the delay to implement under civil service would frustrate their very purpose.
Justification:
In order to satisfactorily perform the work to be done under this contract, personnel must have specific expertise in the revenue bond program for three consecutive years. As a result, this work could not be properly performed by civil service employees.

Payment Method
<input checked="" type="checkbox"/> A. Reimbursement in arrears based on:
<input type="checkbox"/> Itemized Monthly <input checked="" type="checkbox"/> Itemized Quarterly <input type="checkbox"/> Flat Rate <input type="checkbox"/> One-time
<input type="checkbox"/> B. Advanced Payment
<input type="checkbox"/> C. Other, explain:

CONTRACT REQUEST FORM (CRF)

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION

**Retention**

1. Is contract subject to retention? ☐ No ☒ Yes
 If Yes, Do you plan to release retention prior to contract termination? ☒ No ☐ Yes

Justification of Rates

The rates and the overall cost of the services of a financial advisor are similar to a previous contract with to perform similar work. This contractor received the highest score out of three bidders from the Evaluation Committee.

Disabled Veteran Business Enterprise Program (DVBE)

1. ☐ Not Applicable
 2. ☒ Meets DVBE Requirements DVBE Amount:\$ 3,300 DVBE %: 3%
 ☐ Contractor is Certified DVBE
 ☐ Contractor is Subcontracting with a DVBE: _____
 3. ☐ Contractor selected through CMAS or MSA with no DVBE participation.
 4. ☐ Requesting DVBE Exemption (attach CEC 95)

Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?

- ☒ No ☐ Yes
 If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

Is Contractor subcontracting any services?

- ☐ No ☒ Yes
 If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:
 Roberts and Ryan Investments ☐ No ☐ SB ☒ MB ☒ DVBE
 _____ ☐ No ☐ SB ☐ MB ☐ DVBE
 _____ ☐ No ☐ SB ☐ MB ☐ DVBE

Miscellaneous Contract Information

1. Will there be Work Authorizations? ☐ No ☒ Yes
 2. Is the Contractor providing confidential information? ☒ No ☐ Yes
 3. Is the contractor going to purchase equipment? ☒ No ☐ Yes
 4. Check frequency of progress reports
 ☐ Monthly ☒ Quarterly ☐ Other... _____
 5. Will a final report be required? ☐ No ☒ Yes
 6. Is the contract, with amendments, longer than a year? If yes, why? ☐ No ☒ Yes
 Technical tasks require a multi-year approach due to the extreme complexities related to revenue bonds.

The following items should be attached to this CRF

- | | | |
|---|---|--|
| 1. Scope of Work, Attach as Exhibit A. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 3. CEC 96, NCB Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 4. CEC 30, Survey of Prior Work | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. Draft CEQA Notice of Exemption (NOE) | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 7. Resumes | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 8. CEC 105, Questionnaire for Identifying Conflicts | | <input checked="" type="checkbox"/> Attached |
| 9. CEC 106, IT Component Reporting Form | | <input checked="" type="checkbox"/> Attached |

Contract Manager

Date

Office Manager

Date

Deputy Director

Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.
 See Business Meeting Information Section.

Presiding Policy Committee

Date

Associate Policy Committee

Date

Executive Director

Date